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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 4

Complete if Known

|                        |                           |
|------------------------|---------------------------|
| Application Number     | 09/935,981                |
| Filing Date            | August 23, 2001           |
| First Named Inventor   | Donato V. Daddario et al. |
| Group Art Unit         | 2161                      |
| Examiner Name          | To be assigned            |
| Attorney Docket Number | 4797-64                   |

### U.S. PATENT DOCUMENTS

| Examiner<br>Initials | Cite<br>No. <sup>1</sup> | U.S. Patent Document |                                      | Name of Patentee or Applicant of<br>Cited Document | Date of Publication<br>of Cited Document<br>MM-DD-YYYY | Pages, Columns, Lines,<br>Where Relevant Passages or<br>Relevant Figures Appear |
|----------------------|--------------------------|----------------------|--------------------------------------|--|--|---|
|                      |                          | Number               | Kind Code <sup>2</sup><br>(if known) |  |  |   |
| Smf                  |                          | 4,648,037            |                                      | Valentino  | 03/03/1987   | RECEIVED<br>AUG 01 2002<br>GROUP 3600   |
|                      |                          | 5,903,881            |                                      | Schrader et al.                                    | 05/11/1999   |   |
|                      |                          | 5,913,202            |                                      | Motoyama   | 06/15/1999   |   |
|                      |                          | 5,918,217            |                                      | Maggioncalda et al.                                | 06/29/1999   |   |
|                      |                          | 5,920,848            |                                      | Schutzer et al.                                    | 07/06/1999   |   |
|                      |                          | 5,999,918            |                                      | Williams et al.                                    | 12/07/1999   |   |
|                      |                          | 6,003,019            |                                      | Eaton et al.                                       | 12/14/1999   |   |
|                      |                          | 6,012,043            |                                      | Albright et al.                                    | 01/04/2000   |   |
|                      |                          | 6,014,643            |                                      | Minton   | 01/11/2000   |   |
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|                      |                          | 6,062,862            |                                      | Koskinen   | 05/16/2000   |   |
|                      |                          | 6,064,990            |                                      | Goldsmith  | 05/16/2000   |   |
|                      |                          | 6,073,119            |                                      | Bornemisza-Wahr et al.                             | 06/06/2000   |   |

### FOREIGN PATENT DOCUMENTS

| Examiner<br>Initials | Cite<br>No. <sup>1</sup> | U.S. Patent Document |                     |                                      | Name of Patentee or<br>Applicant of Cited<br>Document | Date of Publication<br>of Cited Document<br>MM-DD-YYYY | Pages, Columns, Lines,<br>Where Relevant Passages<br>or Relevant Figures Appear | T <sup>6</sup> |
|----------------------|--------------------------|----------------------|---------------------|--------------------------------------|---|--|---|----------------|
|                      |                          | Office <sup>3</sup>  | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(if known) |   |  |   |                |
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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet

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| Group Art Unit         | 2161                      |
| Examiner Name          | To be assigned            |
| Attorney Docket Number | 4797-64                   |

### OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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|----------------------|--------------------------|--|----------------|
| Emf                  |                          | "Fast Facts About Quicken® 401k Advisor <sup>SM</sup> by TeamVest" <i>Quicken for Windows</i> ,<br><a href="http://www.intit.com/corporate/pressroom/product_info/quicken/fast_facts_401k.html">http://www.intit.com/corporate/pressroom/product_info/quicken/fast_facts_401k.html</a>       |                |
|                      |                          | "My Retirement Account" <i>American Express</i> , <a href="https://www23.americanexpress.com/retirement/myaccount/">https://www23.americanexpress.com/retirement/myaccount/</a>  |                |
|                      |                          | "American Express Retirement Services Selects mPower/401k Forum as Online Investment<br>Advisor for Defined Contribution Plans" <i>mPower</i> , December 1, 1999,<br><a href="http://kona.mpower.com/visitor/press/press_amex.html">http://kona.mpower.com/visitor/press/press_amex.html</a> |                |
|                      |                          | "Atlantic Financial 401k Plans – Key Features" <i>Mutual Fund Center</i><br><a href="http://www.mutualfundcenter.com/401k.htm">http://www.mutualfundcenter.com/401k.htm</a>  |                |
|                      |                          | Web page for Chalk 401(k) Advisory Board, Inc., <a href="http://www.chalk401k.com">www.chalk401k.com</a>   |                |
|                      |                          | Web page for Diversified Investment Advisors, <a href="http://www.divinvest.com">www.divinvest.com</a>   |                |
|                      |                          | Web page for Intuit Inc., <a href="http://www.intuit.com">www.intuit.com</a>   |                |
|                      |                          | Web page for Quicken.com, <a href="http://www.quicken.com">www.quicken.com</a>   |                |
|                      |                          | Web page for TeamVest Retirement Plan Services, Inc., <a href="http://www.teamvest.com">www.teamvest.com</a>   |                |
|                      |                          | Web page for Standard & Poor's, <a href="http://www.standardandpoor.com/productsandservices">www.standardandpoor.com/productsandservices</a>   |                |

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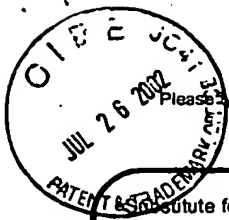
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| Examiner Name          | To be assigned            |
| Attorney Docket Number | 4797-64                   |

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| Examiner Initials | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |
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|                   |                       | Web page for American Express Financial Services, finance.americanexpress.com   |
|                   |                       | Web page for Morningstar.com, www.morningstar.com   |
|                   |                       | Web page for 401(k) Easy, www.401keasy.com  |
|                   |                       | Web page for Atlantic Financial, www.mutualfundcenter.com   |
|                   |                       | Web page for 401kExchange.com, Inc., www.401kexchange.com   |
|                   |                       | Web page for Advisors 401(k), www.advisors401k.com  |
|                   |                       | Web page for BenefitNews.com, www.benefitnews.com   |
|                   |                       | Web page for Retire Web, www.retireweb.com  |
|                   |                       | Web page for Wall Street Online, www.retirement-plan-online.com   |
|                   |                       | Web page for Optimal Retirement Planning, www.i-orp.com   |

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| <b>Filing Date</b>            | August 23, 2001           |
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| <b>Examiner Name</b>          | To be assigned            |
| <b>Attorney Docket Number</b> | 4797-64                   |

## OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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